Nicotine In Cigarettes And Smokeless Tobacco Products Is A Drug And These Products Are Nicotine Delivery Devices Under The Federal Food, Drug, And Cosmetic Act

U. S. Food and Drug Administration Department of Health and Human Services August, 1995

PREFACE

The Food and Drug Administration (FDA) has conducted an extensive investigation and has engaged in comprehensive legal analysis regarding the agency's jurisdiction over nicotine-containing cigarettes and smokeless tobacco products. The results of that inquiry and analysis support a finding at this time that nicotine in cigarettes and smokeless tobacco products is a drug, and that these products are drug delivery devices within the meaning of the Food, Drug, and Cosmetic Act. Nonetheless, because the agency recognizes the unique importance of the jurisdictional issue as well as the factual justification for any proposed rule in this area, the agency invites comment on these matters. Comments submitted will receive full and serious consideration.

Elsewhere in the same issue of the Federal Register in which this document is published, the agency is issuing a proposed regulation of nicotine-containing cigarettes and smokeless tobacco products under the restricted device provisions of the Act. Comments should be sent to FDA's Dockets Management Branch and identified with the docket number 95N-0253J. Comments should be submitted by the date identified in the Federal Register.

Traditionally, the FDA has initiated enforcement actions in cases where the agency determines that a product is a drug or a delivery device. Because the agency has elected to embark on this initiative through rulemaking, no enforcement action will be brought pending completion of that process.

SUMMARY TABLE OF CONTENTS

INTRODUCTION

PART ONE: LEGAL ANALYSIS OF JURISDICTION OVER TOBACCO PRODUCTS

- I. CIGARETTES AND SMOKELESS TOBACCO PRODUCTS "AFFECT THE STRUCTURE OR ANY FUNCTION OF THE BODY" BECAUSE THEY HAVE PHARMACOLOGICAL EFFECTS AND LEAD TO ADDICTION.
- II. TOBACCO MANUFACTURERS "INTEND" THAT THEIR PRODUCTS HAVE ADDICTIVE AND SIGNIFICANT PHARMACOLOGICAL EFFECTS.
- III. NICOTINE-CONTAINING CIGARETTES AND SMOKELESS TOBACCO PRODUCTS ARE DRUG DELIVERY SYSTEMS THAT ARE APPROPRIATELY REGULATED AS DEVICES

PART TWO: FINDINGS

EVIDENCE THAT CIGARETTES AND SMOKELESS TOBACCO ARE INTENDED TO AFFECT THE STRUCTURE AND FUNCTION OF THE BODY

- I. NICOTINE HAS DRUG EFFECTS ON THE BODY
- II. STATEMENTS, RESEARCH, AND ACTIONS BY TOBACCO COMPANIES

PART THREE: REGULATORY OBJECTIVES

APPENDICES

DETAILED TABLE OF CONTENTS

INTRODUCTION vi					
PART	ONE: LEGAL ANALYSIS OF JURISDICTION OVER TOBACCO PRODUCTS	1			
INTRO	ODUCTION AND SUMMARY	2			
I.	CIGARETTES AND SMOKELESS TOBACCO PRODUCTS "AFFECT THE STRUCTURE OR ANY FUNCTION OF THE BODY" BECAUSE THEY HAVE PHARMACOLOGICAL EFFECTS AND LEAD TO ADDICTION	6			
П.	TOBACCO MANUFACTURERS "INTEND" THAT THEIR PRODUCTS HAVE ADDICTIVE AND SIGNIFICANT PHARMACOLOGICAL EFFECTS A. OBJECTIVE INTENT IS THE APPROPRIATE STANDARD. B. THE EVIDENCE DEMONSTRATES INTENT TO AFFECT THE STRUCTURE OR FUNCTION OF THE BODY 1. The Addictive, Psychoactive, and Other Pharmacological Effects of Nicotine Are Widely Known and Foreseeable by Any Reasonable Person in the Position of a Tobacco Manufacturer. 2. Consumers Use Tobacco Products to Obtain the Pharmacological Effects of Nicotine and to Satisfy Their Addiction to Nicotine. 3. Tobacco Manufacturers Know That Nicotine Has Pharmacological Effects and That Consumers Use Tobacco for Those Effects, and Have Acted to Facilitate That Use.	11 21 22 29			
Ш.	NICOTINE-CONTAINING CIGARETTES AND SMOKELESS TOBACCO PRODUCTS ARE DRUG DELIVERY SYSTEMS THAT ARE APPROPRIATELY REGULATED AS DEVICES.				
CONC	CLUSION	65			
APPE	NDIX TO LEGAL ANALYSIS	68			
PART	TWO: FINDINGS	71			
I.	NICOTINE HAS DRUG EFFECTS ON THE BODY A. NICOTINE HAS PHYSIOLOGICAL AND CENTRAL NERVOUS SYSTEM EFFECTS B. NICOTINE IS ADDICTIVE 1. Major Public Health Groups and Leading Experts Concur 2. Epidemiological Data Establishes That Tobacco Users Display the	A 74 78 78			

		Clinical Symptoms of Addiction
		3. Laboratory Studies Establish That Nicotine Produces Pharmacological
		Effects Similar to Those of Other Addictive Substances 94
		4. Nicotine's Sensory Effects Are Secondary to its Psychoactive
		Effects
		5. Other Factors Associated with Tobacco Use Are Secondary 106
	C.	MARKETED TOBACCO PRODUCTS DELIVER
		PHARMACOLOGICALLY ACTIVE DOSES OF NICOTINE 108
		1. Amount of Nicotine Necessary to Produce a Physiological Response in
		the Central Nervous System
		2. Nicotine Delivery From Currently Marketed Tobacco Products 110
	D.	CONSUMERS USE TOBACCO PRODUCTS FOR DRUG EFFECTS 115
		1. To Satisfy Addiction
	•	2. To Affect Mood and Control Weight
II.	STA	TEMENTS, RESEARCH, AND ACTIONS BY TOBACCO
		IPANIES 121
	A.	INDUSTRY STATEMENTS ON NICOTINE'S DRUG EFFECTS 122
		1. Statements That Nicotine's Drug Effects Are Essential to Tobacco
		Use
		2. Statements Recognizing That Nicotine Is Addictive
		3. Statements That Tobacco Products Are Nicotine Delivery
		Systems
	B.	INDUSTRY RESEARCH ON THE DRUG EFFECTS OF NICOTINE 160
	Σ.	1. Industry Research on Nicotine's Effects on the Brain 164
		2. Industry Research on Nicotine Delivery to the Blood and Brain 174
		3. Industry Research Establishes That Nicotine Produces Pharmacological
		Effects Similar to Those of Other Addictive Drugs
	C.	INDUSTRY RESEARCH ON THE CONSUMER'S NEED FOR AN
	O.	ADEQUATE DOSE OF NICOTINE
		1. Industry Research on Importance of Supplying Sufficient Nicotine to
		Provide Consumer Acceptance and "Satisfaction"
		2. Industry Research to Determine the Minimum and Maximum "Dose" of
		Nicotine Required by Consumers of Tobacco
		3. Industry Research on How Consumers "Compensate" to Achieve an
		Adequate Dose of Nicotine
		4. Industry Research and Knowledge of Tobacco Users' Inability to
		Quit
	D.	INDUSTRY PRODUCT DEVELOPMENT RESEARCH TO ENSURE AN
	D.	ADEQUATE DOSE OF NICOTINE
		• • • • • • • • • • • • • • • • • • • •
		Lowering Tar 222

E.	INDUSTRY MANIPULATION AND CONTROL OF NICOTINE
	DELIVERY IN MARKETED TOBACCO PRODUCTS
	1. Industry Manipulation and Control of Nicotine in Cigarettes 232
	2. Industry Manipulation and Control of Nicotine in Smokeless
	Tobacco 273
F.	INDUSTRY ALTERNATIVE TOBACCO PRODUCTS
	1. Industry Development of Nicotine Substitutes That Mimic Nicotine's
	Drug Effects
	2. Industry Research on Acetaldehyde As a Reinforcer
	3. Industry Development of Alternative Cigarettes That Deliver Nicotine
G.	INDUSTRY KNOWLEDGE THAT NICOTINE'S SENSORY EFFECTS ARE
	SECONDARY TO ITS PHARMACOLOGICAL EFFECTS 311
H.	INDUSTRY FAILURE TO REMOVE NICOTINE FROM TOBACCO
	DESPITE AVAILABLE TECHNOLOGY
PART THR	EE: REGULATORY OBJECTIVES 324
	-
APPENDIC	ES
1.	Background on Nicotine Pharmacology
2.	Corporate Relationship Between Brown and Williamson and British-American Tobacco Co.
3.	FDA Letters to Tobacco Manufacturers
4.	Bibliography of Industry-Funded Research
5.	Marketing of Cigarettes and Smokeless Tobacco in the U.S.
6.	Citizen Petitions and Submitted Comments
7.	Statement by David A. Kessler, M.D., Commissioner of Food and Drugs, on Nicotine-Containing Cigarettes, before the Subcommittee on Health and the Environment, Committee on Energy and Commerce, U.S. House of Representatives, March 25, 1994
8.	Statement by David A. Kessler, M.D., Commissioner of Food and Drugs, on the Control and Manipulation of Nicotine in Cigarettes, before the Subcommittee on Health and the Environment, Committee on Energy and Commerce, U.S. House of Representatives, June 21, 1994
9.	Remarks by David A. Kessler, M.D., Commissioner of Food and Drugs, The Samuel Rubin Program, the Columbia University School of Law, March 8, 1995

Additional Documents

10.